



# **Organizational Capacity Assessment (OCA)**

## **Facilitator Guide**

### **Project Performance Section Only**

DRAFT September 2011

## **The OCA Purpose and Framework**

Within USAID's Forward's Implementation and Procurement's Local Capacity Development (LCD) reform efforts, the OCA can be facilitated through a guided, interactive self-assessment with USAID's partners (NGOs, private businesses, and government counterparts) on an annual basis. This is based on the objective to enable organizational learning, team sharing, and reflective self-assessment within each partner organization. The tool is tailored to identify areas of need within management systems, project performance, program performance, and networking as well as reinforce healthy organizational practices. Through this process with a broad range of staff representation (all departments and levels represented), this snapshot promotes both a healthy, focused dialogue on organizational areas (and technical areas in year 2 and beyond through an additional tool) and leads to the development of an Action Plan identifying areas of high priority, ensuing steps, responsible staff identified, estimated completion dates, and additional support identified. Through the regular use of the OCA, an associated Action Implementation Plan, and supportive training/coaching/mentoring opportunities have demonstrated an increase in strengthening the self-sufficiency and sustainability of partners.

## **Acknowledgements**

This compilation is based on a review and inclusion of the following Organizational Assessment Tools:

- The foundational tool is originally based on the New Partners Initiatives (NPI) OCA tool and process which was developed by Initiatives Inc. with contributions by John Snow Incorporated (JSI) under the USAID-funded New Partner's Initiatives Technical Assistance (NuPITA) Contract No. GHS-I-00-07-00002-00 and the CDC/HRSA-funded New Partner's Initiatives Technical Assistance (TA-NPI) Contract No. 200-204-05316.
- IDF originally based on USAID's TIPs #15
- Pact's Organizational Capacity Assessment Tool (OCAT)
- Discussion-Oriented Organizational Self-Assessment (DOSA) Tool
- NGO Sustainability Index

## **Additional Resources**

- Initiatives Inc. (2009). *Organizational Capacity Assessment for NGOs*. Boston, MA: Published by Initiatives Inc. for the United States Agency for International Development Support for HIV and AIDS Response in Zambia Project (SHARe).
- Management Sciences for Health. (2003). *Rapid Assessment Tool for HIV/AIDS Environments: A Guide for Strengthening HRM Systems*. Cambridge, MA: Published by MSH for the U.S. Agency for International Development Management and Leadership Program.
- Venture Philanthropy Partners. (2001). *Effective Capacity Building in Non-Profit Organizations*. Reston, VA: Venture Philanthropy Partners.

## Project Performance Management

**Objective:** The objective of this section is to assess the organization's ability to implement high quality programs that meets recognized standards and show results by reviewing the organization's systems and processes for overseeing field activities; using standards and monitoring actual performance against standards; and setting indicators and monitoring progress toward achievements of key outcomes.

### Project Implementation Status

**Objective:** The Objective of this sub-section is to assess the organization's capability to implement its current projects by reviewing program staffing, funding, planning, contracting and activities.

**Resources:** Community or client assessments, program plans

Project Implementation Status	1	2	3	4
	The organization's project workplan is not approved and/or budget not allocated. No staff have been hired, sub-agreements have not been drafted, program activities have not started.	The organization's project workplan is approved and the budget is allocated. The program is not yet fully staffed and/or all sub-agreements have not been drafted or signed. The Monitoring & Evaluation (M&E) plan is not yet developed or systems are not yet functional. Technical and financial reports have not been drafted. Services have not started.	The organization's workplan is approved and budget is allocated. The program is fully staffed. Some or all sub-grantees have signed sub-agreements. M&E systems are in place, but not fully functional. Technical and financial reports are available and have been submitted on time. Services are active, but project activities are not taking place according to the workplan.	The organization's project workplan is approved and the budget is allocated. The program is fully staffed. All sub-awardees have signed sub-agreements. M&E systems are functional. Technical and financial reports are available and have been submitted on time. Services are active and project activities are progressing according to the workplan.

Project Implementation Status	
Score	Criteria
1	<ul style="list-style-type: none"> <li>• <b>Documentation:</b> The organization's workplan is not complete and has not been approved (if required)</li> <li>• <b>Budget:</b> Program budget is not allocated</li> <li>• <b>Staffing:</b> Staff required to support project(s) have not been hired</li> <li>• <b>Sub-granting (where applicable):</b> Sub-grants have not been drafted or signed</li> <li>• <b>Implementation:</b> Program activities have not started</li> </ul>
2	<ul style="list-style-type: none"> <li>• <b>Documentation:</b> The organization's workplan is complete and has been approved. The organization has a Monitoring &amp; Evaluation (M&amp;E) plan</li> <li>• <b>Budget:</b> Program budget is allocated</li> <li>• <b>Staffing:</b> Significant staffing gaps related to the organization's programs remain</li> <li>• <b>Sub-granting (where applicable):</b> Some sub-grants have been drafted and signed or all have been drafted but not yet signed</li> <li>• <b>Implementation:</b> Program activities have not yet started</li> </ul>
3	<ul style="list-style-type: none"> <li>• <b>Documentation:</b> The organization's workplan is complete and has been approved. The organization has an M&amp;E plan</li> <li>• <b>Budget:</b> Program budget is allocated</li> <li>• <b>Staffing:</b> All staff required for the program have been hired</li> <li>• <b>Sub-granting (where applicable):</b> All sub-grants have been drafted and all or most have been signed</li> <li>• <b>Monitoring:</b> Monitoring and evaluation systems are in place but not yet fully functional</li> <li>• <b>Implementation:</b> Program services are active, but project activities are not taking place according to the workplan</li> <li>• <b>Reporting:</b> Technical and financial reports are available and have been submitted on time</li> </ul>
4	<ul style="list-style-type: none"> <li>• <b>Documentation:</b> The organization's workplan is complete and has been approved. The organization has an M&amp;E plan</li> <li>• <b>Budget:</b> Program budget is fully allocated</li> <li>• <b>Staffing:</b> All staff for the program have been hired</li> <li>• <b>Sub-granting (where applicable):</b> All sub-grants have been drafted and all or most have been signed</li> <li>• <b>Monitoring:</b> Monitoring and evaluation systems are in place and fully functional</li> <li>• <b>Implementation:</b> Technical and financial reports are available and have been submitted on time</li> </ul>

### Field Oversight

**Objective:** The Objective of this sub-section is to ensure effective program implementation by reviewing the organization's systems for reviewing field management and implementation at field offices through review of reports, communication, and onsite visits.

Field Oversight	1	2	3	4
-----------------	---	---	---	---

	The organization has no formal procedures and processes for overseeing field office administrative and programmatic operations	The organization approves annual workplans, and monitors at least two of the following: whether staff have required technical skills, timesheets or budget.	The organization approves annual workplans, and monitors staff skills, timesheets and budget. It also reviews quarterly project M&E data, progress reports and provides technical and administrative guidance to improve program effectiveness.	The organization approves workplans, reviews data, progress reports, provides guidance as necessary and makes at least semi-annual supervision visits and results are discussed with management and technical staff.
--	--	---	---	--

Field Oversight	
Score	Criteria
1	<ul style="list-style-type: none"> <li>• <b>Systems:</b> The organization has no systems (processes and procedures) for overseeing field office administrative and program operations</li> </ul>
2	<ul style="list-style-type: none"> <li>• <b>Systems:</b> The organization has some systems for overseeing field office administrative and program operations. It approves annual work plans, monitors staff skills, timesheets (where applicable), and the budget</li> </ul>
3	<ul style="list-style-type: none"> <li>• <b>Systems:</b> The organization has solid systems for overseeing field office administrative and program operations. It approves annual workplans, monitors staff skills, timesheets, and the budget</li> <li>• <b>Monitoring:</b> The organization reviews quarterly M&amp;E data reports</li> <li>• <b>Technical Support:</b> The organization provides technical and administrative support to help improve program effectiveness</li> </ul>
4	<ul style="list-style-type: none"> <li>• <b>Systems:</b> The organization has solid systems for overseeing field office administrative and program operations. It approves annual workplans, monitors staff skills, and the budget.</li> <li>• <b>Monitoring:</b> The organizations review quarterly M&amp;E data and reports and provides feedback</li> <li>• <b>Technical Support:</b> The organization provides technical and administrative support to help improve program effectiveness</li> <li>• <b>Supervision:</b> The organization makes at a minimum semi-annual supervision visits and discusses results with management and technical staff at the field office.</li> </ul>

## Standards

**Objective:** The Objective of this sub-section is to assess the organization's ability to implement high quality programs by reviewing the application of recognized standards in stated organizational approaches. Standards are documented expectations under a variety of conditions.

**Resources:** Standards documents/guidelines used by organizations, Monitoring Reports

Standards	1	2	3	4
	The organization has no standards for service delivery or other functions (i.e., policy advocacy, monitoring/oversight) in its programs.	Standards are developed for service delivery and/or other functions (i.e., policy advocacy, monitoring/oversight), but staff are not aware of these standards, and do not apply them in an appropriate manner.	Standards are developed for service delivery and/or other functions (i.e., policy advocacy, monitoring/oversight); staff are aware of these standards and appropriately trained to apply and monitor them. Standards are monitored but are not applied in a comprehensive manner.	Standards are developed for service delivery and/or other functions (i.e., policy advocacy, monitoring/oversight), staff are aware of these standards and appropriately trained to apply them and monitoring reports show they are consistently adhered to.

Standards	
Score	Criteria
1	<ul style="list-style-type: none"> <li>• <b>Documentation:</b> The organization has no documented program standards</li> </ul>
2	<ul style="list-style-type: none"> <li>• <b>Documentation:</b> The organization has documented program standards</li> <li>• <b>Staff Awareness:</b> Staff are not aware of the standards</li> </ul>
3	<ul style="list-style-type: none"> <li>• <b>Documentation:</b> The organization has documented program standards</li> <li>• <b>Staff Awareness:</b> Staff are aware of the standards</li> <li>• <b>Staff Competence:</b> Staff have been trained to apply standards and to monitor performance against standards</li> <li>• <b>Application:</b> Standards are not applied in a comprehensive manner</li> </ul>
4	<ul style="list-style-type: none"> <li>• <b>Documentation:</b> The organization has documented program standards</li> <li>• <b>Staff Awareness:</b> Staff are aware of the standards</li> <li>• <b>Staff Competence:</b> Staff have been trained to apply standards and to monitor performance against standards</li> <li>• <b>Application:</b> Monitoring reports show standards are consistently adhered to</li> </ul>

## Supervision

**Objective:** The Objective of this sub-section is to ensure quality implementation and programs by reviewing systems for supportive review of and feedback on staff performance and program activities. A supervision plan is a document that lists persons with supervisory responsibilities, who will be supervised, what will be supervised, what type of supervision recording and reporting is required, what type of supervision feedback will be completed, what supervision follow-up is expected.

**Resources:** Supervision Plan or Guidelines, Supervisor Reports

Supervision	1	2	3	4
	Supervision responsibilities are unclear, supervisors are inadequately trained and supervision is not done according to a clear supervision plan.	A supervision plan exists which details supervision responsibilities, but it is not followed and supervisors are not trained.	A clear supervision plan exists which details supervision responsibilities, supervisors are trained, supervision is carried out mostly according to the plan, but findings are not documented or discussed	A clear supervision plan exists which details supervisory responsibilities. Supervisors are trained, findings are documented, discussed with supervisees and management, and followed-up.

Supervision	
Score	Criteria
1	<ul style="list-style-type: none"> <li>• <b>Documentation:</b> The organization has no documented supervision plan</li> </ul>
2	<ul style="list-style-type: none"> <li>• <b>Documentation:</b> The organization has no documented supervision plan</li> <li>• <b>Staff Competence:</b> Relevant staff are not trained to carry out supervision</li> <li>• <b>Application:</b> Supervision is not carried out to plan</li> </ul>
3	<ul style="list-style-type: none"> <li>• <b>Documentation:</b> The organization has no documented supervision plan</li> <li>• <b>Staff Competence:</b> Relevant staff are trained to carry out supervision</li> <li>• <b>Application:</b> Supervision is carried out mostly to plan</li> <li>• <b>Reporting:</b> Supervision findings are not documented in a report or discussed with management or supervisees</li> </ul>
4	<ul style="list-style-type: none"> <li>• <b>Documentation:</b> The organization has documented supervision plan</li> <li>• <b>Staff Competence:</b> Relevant staff are trained to carry out supervision</li> <li>• <b>Application:</b> Supervision is carried out according to plan</li> </ul>

	<ul style="list-style-type: none"> <li>• <b>Reporting:</b> Supervision findings are documented in a report and discussed with management and supervisees and followed up</li> </ul>
--	---

## Monitoring & Evaluation

**Objective:** The Objective of this sub-section is to assess the organization's ability to implement quality programs and demonstrate results by reviewing the organization's processes for planning, data collection, and data usage

**Resources:** Monitoring and Evaluation (M&E) plan, M&E tools, M&E reports

Monitoring & Evaluation (M&E)	1	2	3	4
	The organization has no M&E plan and has not identified key process and outcome indicators and has no tools, data collection system, or process to, analyze and report on its programs, activities and impact as defined in the workplan.	The organization has a basic M&E plan. Systems & trained individuals are in place to collect and analyze information on programs, activities & impact, including process and outcome indicators but information is not regularly collected or reported.	The organization has a good M&E plan that has been approved as required. Systems & trained individuals are in place to collect and analyze information on programs, activities & impact, including process and outcome indicators. Most data on programs & activities are available and up to date and reports are drafted and shared with relevant stakeholders but data/findings are not consistently used for follow-up monitoring, support or planning.	The organization has a good M&E plan that has been approved as required. Data on program activities are available, are up to date and the data are regularly used for follow-up monitoring, program adjustments and planning and determining progress towards achieving stated targets as well as shared with relevant stakeholders



Monitoring & Evaluation	
Score	Criteria
1	<ul style="list-style-type: none"> <li>• <b>Documentation:</b> The organization has no M&amp;E plan</li> <li>And/or • <b>M&amp;E Elements:</b> No process or outcome indicators have been identified, no M&amp;E tools exist, there is no system for collecting data or process for analyzing data</li> </ul>
2	<ul style="list-style-type: none"> <li>• <b>Documentation:</b> The organization has a basic M&amp;E plan that includes a description of monitoring systems, defined indicators, how/who collects data and how often, how data are analyzed and used</li> <li>• <b>Staff Competence:</b> Relevant staff members have been trained to implement M&amp;E plan and processes</li> <li>• <b>Application:</b> Data are not regularly collected</li> <li>• <b>Reporting:</b> Data are not reported</li> </ul>
3	<ul style="list-style-type: none"> <li>• <b>Documentation:</b> The organization has a good M&amp;E plan that includes a description of monitoring systems, defined indicators, how/who collects data and how often, how data are analyzed and used</li> <li>• <b>Compliance:</b> The M&amp;E has been approved as required</li> <li>• <b>Staff Competence:</b> Relevant staff members have been trained to implement the M&amp;E plan and processes</li> <li>• <b>Application:</b> Most data are available and up to date</li> <li>• <b>Reporting:</b> Reports are completed and shared with stakeholders</li> <li>• <b>Planning:</b> M&amp;E findings are not consistently used for follow up monitoring, supervision support, and planning</li> </ul>
4	<ul style="list-style-type: none"> <li>• <b>Documentation:</b> The organization has a good M&amp;E plan that includes a description of monitoring systems, defined indicators, how/who collects data and how often, how data are analyzed and used</li> <li>• <b>Compliance:</b> The M&amp;E has been approved as required</li> <li>• <b>Staff Competence:</b> Relevant staff members have been trained to implement the M&amp;E plan and processes</li> <li>• <b>Application:</b> Most data are available and up to date</li> <li>• <b>Reporting:</b> Reports are completed and shared with relevant stakeholders</li> <li>• <b>Planning:</b> M&amp;E findings are consistently used for follow up monitoring, supervision support, and planning</li> </ul>

### Quality Assurance

**Objective:** The Objective of this sub-section is to assess the organization's ability to implement high quality programs by reviewing the availability of processes to identify and address gaps in meeting performance standards

**Resources:** Quality monitoring tools (which could be part of M&E tools)

Quality Assurance	1	2	3	4
	The organization has no performance expectations	The organization has performance expectations	The organization has performance expectations	The organization has performance expectations

	and no system for monitoring the quality of services provided by its programs, either through program evaluations, quality monitoring or supervision.	but does not have a system to assess performance against standards.	and a system that assesses performance against standards, takes client satisfaction into consideration, includes an analysis of gaps or weaknesses and but does not develop an improvement plan	and a system that assesses performance against standards, takes client satisfaction into consideration, includes an analysis of gaps or weaknesses and has an action planning process to address those gaps or weaknesses.
--	---	---	---	--

Quality Assurance	
Score	Criteria
1	<ul style="list-style-type: none"> <li>• <b>System:</b> No quality assurance system exists</li> </ul>
2	<ul style="list-style-type: none"> <li>• <b>System:</b> The organization has a basic system that assesses performance against standards but does not include documentation of problems or gaps and action planning</li> <li>• <b>Application:</b> System not routinely applied</li> </ul>
3	<ul style="list-style-type: none"> <li>• <b>System:</b> The organization has a good system that assesses performance against standards, takes client satisfaction into consideration, includes an analysis of gaps or weaknesses and has an action planning process to address those gaps or weaknesses</li> <li>• <b>Application:</b> The system is applied most of the time as planned</li> <li>• <b>Quality:</b> The action planning processes is not consistently done or followed</li> </ul>
4	<ul style="list-style-type: none"> <li>• <b>System:</b> The organization has a good system that assesses performance against standards, takes client satisfaction into consideration, includes an analysis of gaps or weaknesses and has an action planning process to address those gaps or weaknesses</li> <li>• <b>Application:</b> The system is consistently applied on a routine basis</li> <li>• <b>Quality:</b> The action planning processes is consistently done and followed</li> </ul>